



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
Yuan, et al. )  
Serial No.: 10/019,883 )  
Filed: December 27, 2001 )  
For: Method and System for Generating and )  
Searching an Optimal Maximum..... )

Examiner: Unassigned

Art Unit: Unassigned

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

*I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on*  
September 22, 2006

(Date of Deposit)

Kristin A. Morrow

(Printed name)

Kristin A. Morrow 9/22/06  
(Signature) (Date)

**PETITION TO FILE ON BEHALF OF A NON-SIGNING INVENTOR AS PROVIDED  
UNDER 37 CFR 1.47(a)  
(FILING DATE GRANTED)**

In response to the Notice to File Missing Parts of Application mailed April 10, 2006, Applicants respectfully, for purposes of responding to the Notice of Missing Parts mailed April 10, 2006, submit a petition to file as provided under 37 CRR 1.47(a) on behalf of the signatory inventors; Baosheng Yuan, Qingwei Zhao, Yonghong Yan and Zhiwei Lin on behalf of themselves and the non-signing inventor Qing Guo who cannot be found after diligent effort. Included in this response are the following items:

1) A statement of facts from Kristin A. Morrow, Assistant to Gregory D. Caldwell providing proof of pertinent facts concerning our inability to locate co-inventor Qing Guo in the above identified patent application and thus the unavailability of Qing Guo to execute the Declaration for filing in the U.S. Patent and Trademark Office;

3) Executed Declaration and Power of Attorney from the signing inventors Baosheng Yuan, Qingwei Zhao, Yonghong Yan and Zhiwei Lin.

4) The Notice of Missing Parts mailed April 10, 2006.

5) A petition for a two (4) month extension of time under 37 CFR 1.136 (a) and the required \$1590.00.

6) The required \$130.00 petition fee pursuant to 37 CFR 1.17(h) for the petition to file by other than all the inventors as provided under 37 CFR 1.47(a).

The name and address of the co-inventor refusing to review, consider, execute and otherwise cooperate in the prosecution of this patent application is:

Qing Guo  
whose last known address is:  
9 #306 Dongshengyuan  
Haidian District  
Beijing, 100082  
China

The invention was developed in conjunction with and under the authorization of Intel Corporation (hereinafter "Intel") by the inventors Qing Guo, Baosheng Yuan, Qingwei Zhao, Yonghong Yan and Zhiwei Lin.

Upon information and belief, Intel is entitled to clear title to the invention and to the above-identified patent application and any patent which issues thereon, at least because, by way of signing the aforementioned Employment, Confidential Information and Invention Assignment Agreement Qing Guo has agreed to

“assign to Intel all rights to which I may be entitled with respect to patents, trade secrets, copyrights, mask works, trademarks, inventions, discoveries, designs, formulae, process, methods, manufacturing techniques, improvements, ideas, copyrightable works, and other intellectual property:”.

**Intel Employment Agreement, paragraph 4.**

Since Mr. Guo signed the Intel Employment Agreement, and received valuable consideration from Intel, Qing Guo has the duty to jointly execute the above identified patent application and to assign the rights to the invention to Intel.

It is respectfully submitted that the enclosed information is a sufficient response to the Notice of Missing parts mailed April 10, 2006.

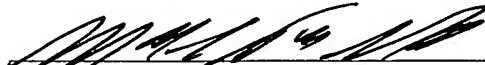
If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

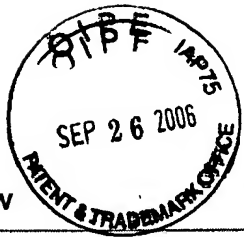
Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: Sept 22, 2006

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026

  
Mark C. Van Ness (Reg. No. 39,865)



Exhibits A + B

Kristin Morrow

**From:** Kristin Morrow  
**Sent:** Wednesday, April 19, 2006 12:15 PM  
**To:** 'baosheng.yuan@intel.com'; 'qingwei.zhao@intel.com'; 'qing.guo@intel.com';  
'yonghong.yan@intel.com'; 'zhiwei.lin@intel.com'  
**Subject:** Formal Documents for Signatures - P9270  
**Attachments:** Unsigned DEC - POA.pdf; Unsigned Assignment.pdf

Dear Inventors:

RE: METHOD AND SYSTEM FOR GENERATING AND SEARCHING AN OPTIMAL MAXIMUM LIKELIHOOD  
DECISION TREE FOR HIDDEN MARKOV MODEL (HMM) BASED SPEECH RECOGNITION

Enclosed are a Declaration/Power of Attorney and an Assignment form that require your signatures that we filed with the United States Patent and Trademark Office on December 27, 2001. The declaration/power of attorney form states that you have read and understand the application, including the claims, and that you are one of the joint inventors of the invention described in the application. The second function is to provide our firm with the power to your entire right and interest in the invention to Intel Corporation. Once you have signed these documents, they can be returned via fax to 503-439-6073 Attn: Kristin Morrow. Please send the original documents to the address listed below. PLEASE NOTE: I NEED ALL PAGES RETURNED...

Please keep in mind that you have a continuing duty to disclose to the Patent and Trademark Office information you are aware of that is material to patentability. For example, if you are aware of any articles bearing on this invention, please bring them to our attention.

Mahalo,  
Kristin A. Morrow  
Assistant to Greg Caldwell  
Blakely, Sokoloff, Taylor & Zafman LLP  
1925 NW Amberglen Pkwy. Suite 230  
Beaverton, Oregon 97008  
PH: 503-439-8778  
FAX: 503-439-6073

**\*\*Please note that as of December 12, 2005, my work schedule will be Tuesday - Friday 8:00am - 6:30pm. If you need assistance in my absence on Mondays, please contact Annie Pearson at [Annie\\_pearson@bstz.com](mailto:Annie_pearson@bstz.com) or (503) 439-8778.**

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4/19/2006

**Kristin Morrow**

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**From:** Kristin Morrow  
**Sent:** Tuesday, May 30, 2006 11:22 AM  
**To:** 'qing.guo@intel.com'  
**Subject:** FW: Formal Documents for Signatures - P9270  
**Attachments:** Unsigned DEC - POA.pdf; Unsigned Assignment.pdf

Dear Inventor,

Please see my original message below. I am still awaiting your signatures for the attached documents that I must file with the USPTO by June 10, 2006.

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**From:** Kristin Morrow  
**Sent:** Tuesday, May 09, 2006 8:43 AM  
**To:** 'qingwei\_zhao@yahoo.com'  
**Subject:** Formal Documents for Signatures - P9270

Dear Inventor:

RE: METHOD AND SYSTEM FOR GENERATING AND SEARCHING AN OPTIMAL MAXIMUM LIKELIHOOD DECISION TREE FOR HIDDEN MARKOV MODEL (HMM) BASED SPEECH RECOGNITION

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9/12/2006

**Kristin Morrow**

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**From:** Kristin Morrow  
**Sent:** Thursday, June 08, 2006 11:55 AM  
**To:** 'qing.guo@intel.com'  
**Subject:** FW: Formal Documents for Signatures - P9270  
**Importance:** High  
**Attachments:** Unsigned DEC - POA.pdf; Unsigned Assignment.pdf

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Thank you for your assistance with this matter.

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**Kristin Morrow**

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**To:** 'qing.guo@intel.com'  
**Cc:** 'Skabrat, Steven'  
**Subject:** FW: Formal Documents for Signatures - P9270  
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**Kristin Morrow**

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**From:** Kristin Morrow  
**Sent:** Tuesday, July 18, 2006 6:07 PM  
**To:** 'qing.guo@intel.com'  
**Cc:** 'Skabrat, Steven'  
**Subject:** FW: Formal Documents for Signatures - P9270  
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9/12/2006

*Exhibit F***Kristin Morrow**

---

**From:** Percelle, Carol A [carol.a.percelle@intel.com]  
**Sent:** Friday, September 15, 2006 11:09 AM  
**To:** Kristin Morrow  
**Subject:** RE: Inventor Help - URGENT

sorry, he's termed too...they are all termed.

---

**From:** Kristin Morrow [mailto:KMorrow@bstz.com]  
**Sent:** Friday, September 15, 2006 11:00 AM  
**To:** Percelle, Carol A  
**Subject:** RE: Inventor Help - URGENT  
**Importance:** High

Hi Carol,

That's the address I already have - so at least I know that doesn't work. I guess what I am now asking is this: in an e-mail a few months back you said that the first 4 inventors were termed but nothing about the Qing Guo. Is he still employed at Intel or was he termed? I think it's odd that his e-mail is not bounced back as undeliverable?

Mahalo,  
Kristin A. Morrow  
Assistant to Greg Caldwell  
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**From:** Percelle, Carol A [mailto:carol.a.percelle@intel.com]  
**Sent:** Friday, September 15, 2006 10:46 AM  
**To:** Kristin Morrow  
**Subject:** RE: Inventor Help - URGENT

This is all the information I have on them, I hope it helps...

9/15/2006

---

**From:** Kristin Morrow [mailto:KMorrow@bstz.com]  
**Sent:** Friday, September 15, 2006 10:37 AM  
**To:** Percelle, Carol A  
**Subject:** Inventor Help - URGENT  
**Importance:** High

Hi Carol,

I talked to you some months back about inventors for Intel matter P9270 - the inventors on this case are:

Baosheng Yuan - BLK 515, JURONG WEST STREET 52, #08-15; SINGAPORE SGP 640515 -  
YUAN\_BAOSHENG@HOTMAIL.COM  
Qingwei Zhao - ROOM 205, BUILDING 938, ZHONGGUANCUN, HAIDIAN DISTRICT, BEIJING, 100086  
CHINA  
Yonghong Yan - 20756 NW AMBER VIEW LN; BEAVERTON, OR 97006  
Zhiwei Lin - BLK518, JURONG WEST STREET 52, #11-149, S(640518); SINGAPORE  
Qing Guo - 9#306, DONGSHENGYUAN, HAIDIAN DISTRICT, BEIJING 100082, PRC.

The first 4 inventor e-mails came back undeliverable and you advised that those inventors were termed from Intel. Can you please advise what you know about Qing Guo as that inventor e-mail does not come back undeliverable? He will not answer any e-mails or sign the Declaration/POA or Assignment. Is he still employed by Intel? The last known address we have for him is:

9 #306 Dongshengyuan  
Haidian District  
Beijing, China 100082

But the Registered mail we send is coming back unclaimed. We are running out of time and are in the process of trying to get together the needed paperwork for an inventor who is unwilling to sign.

It would be much appreciated to get your assistance with this matter or if you can please send me to someone who can assist it would be very helpful.


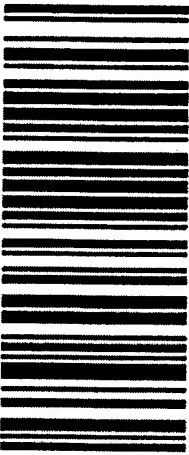
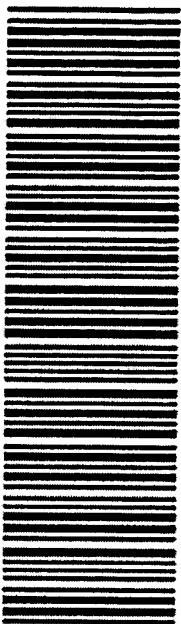
Thank you so much Carol.

Mahalo,  
Kristin A. Morrow  
Assistant to Greg Caldwell  
Blakely, Sokoloff, Taylor & Zafman LLP  
1925 NW Amberglen Pkwy. Suite 230  
Beaverton, Oregon 97008  
PH: 503-439-8778  
FAX: 503-439-6073

**\*\*Please note that as of December 12, 2005, my work schedule will be Tuesday - Friday 8:00am - 6:30pm. If you need assistance in my absence on Mondays, please contact Annie Pearson at Annie\_pearson@bstz.com or (503) 439-8778.**

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9/15/2006

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<b>FM: BLAKELY SOKOLOFF TAYLOR</b> R. Caldwell ZAFMAN LLP STE 230 1925 NW AMBERGLEN PKWY BEAVERTON, OR 97006 UNITED STATES Phone: 503-439-8778		<b>ORIGIN:</b> <b>WPO</b>	Sender's ref 42390. P9270 (kam)
<b>To: QING GUO</b> 9 #306 DONGSHENGYUAN HAIDIAN DISTRICT BEIJING, 100082 CHINA		<b>POST CODE:</b> <b>PEK</b>	TEL: 86-10-852-98800
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**Reply to:**  
BLAKELY, SOKOLOFF, TAYLOR  
& ZAFMAN LLP  
1925 NW Amberglen Parkway, Suite 230  
Beaverton, Oregon 97006  
503-439-8778  
503-439-6073 (facsimile)

September 5, 2006

Qing Guo  
9 #306 Dongshengyuan  
Haidian District  
Beijing, China 100082

Re: "Method and System for Generating and Searching an Optimal Maximum Likelihood Decision Tree for Hidden Markov model (HMM) Based Speech Recognition" (INTEL Application)

Dear Qing Guo:

We are the Law Firm for Intel Corporation and we have been attempting to contact you in regards to the above mentioned application. We are in need of your signature for the Formal Documents in which I show you as a named inventor.

I attempted to e-mail you but it was returned as undeliverable and I have also attempted to send these documents Registered mail as this is the only known mailing address I have for you. Can you please sign the enclosed formal documents and return them to me as soon as possible, if there are any changes that need to be made to your address please make the change and place your initials next to the changes you make. You may return the forms via e-mail as e-mail communication will be very quick under the time constraints. I have included a self addressed stamped envelope for you to return the originals which I hope will make things easier for you as well.

I thank you in advance and appreciate your cooperation with this matter.

Sincerely,

Kristin A. Morrow  
Assistant to Gregory D. Caldwell  
[Kristin\\_morrow@bstz.com](mailto:Kristin_morrow@bstz.com)

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*Exhibit C*

Reply to:  
BLAKELY, SOKOLOFF, TAYLOR  
& ZAFMAN LLP  
1925 NW Amberglen Parkway, Suite 230  
Beaverton, Oregon 97006  
503-439-8778  
503-439-6073 (facsimile)

July 19, 2006

Qing Guo  
9 #306 Dongshengyuan  
Haidian District  
Beijing, China 100082

Re: "Method and System for Generating and Searching an Optimal Maximum Likelihood Decision Tree for Hidden Markov model (HMM) Based Speech Recognition" (INTEL Application)

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I attempted to e-mail you but it was returned as undeliverable and this is the only known mailing address I have for you. Can you please contact me as soon as possible with your updated information so I may get these documents to you for your signatures as we are under a time deadline to get them filed with the United States Patent Office. I need an updated mailing address if the above address has changed in any way. You may return this information via e-mail as e-mail communication will be very quick under these time constraints.

I thank you in advance and appreciate your cooperation with this matter.

Sincerely,

Kristin A. Morrow  
Assistant to Gregory D. Caldwell  
[Kristin\\_morrow@bstz.com](mailto:Kristin_morrow@bstz.com)

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Exhibit D

Reply to:  
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& ZAFMAN LLP  
1925 NW Amberglen Parkway, Suite 230  
Beaverton, Oregon 97006  
503-439-8778  
503-439-6073 (facsimile)

July 19, 2006

Qing Guo  
9 #306 Dongshengyuan  
Haidian District  
Beijing, China 100082

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Sincerely,

*Kristin A. Morrow*

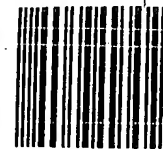
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Assistant to Gregory D. Caldwell  
[Kristin\\_morrow@bstz.com](mailto:Kristin_morrow@bstz.com)

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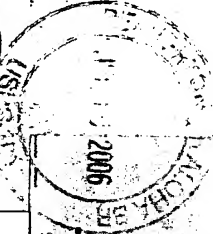
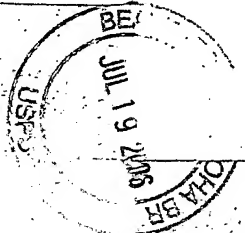


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Beijing, China 100082

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